

***IN THE UNITED STATES PATENT AND TRADEMARK OFFICE***

Applicant: Goodman et al.  
Title: DENDRIMERS AS MOLECULAR  
TRANSLOCATORS  
Appl. No.: 10/522,128  
International Filing Date: 7/18/2003  
371(c) Date:  
Examiner: FUBARA, BLESSING  
Art Unit: 1618  
Confirmation Number: 1953

**INFORMATION DISCLOSURE STATEMENT**  
**UNDER 37 CFR §1.56**

Mail Stop Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Submitted herewith on Form PTO/SB/08 is a listing of documents known to Applicants in order to comply with Applicants' duty of disclosure pursuant to 37 CFR §1.56.

A copy of each non-U.S. patent document and each non-patent document is being submitted to comply with the provisions of 37 CFR §1.97 and §1.98.

The submission of any document herewith, which is not a statutory bar, is not intended as an admission that such document constitutes prior art against the claims of the present application or that such document is considered material to patentability as defined in 37 CFR

§ 1.56(b). Applicants do not waive any rights to take any action which would be appropriate to antedate or otherwise remove as a competent reference any document which is determined to be a *prima facie* art reference against the claims of the present application.

### **TIMING OF THE DISCLOSURE**

The listed documents are being submitted in compliance with 37 CFR §1.97(c), before the mailing date of either a final action under 37 CFR §1.113, a notice of allowance under 37 CFR §1.311, or an action that otherwise closes prosecution in the application.

### **RELEVANCE OF EACH DOCUMENT**

All of the documents are in English.

Applicants respectfully request that each listed document be considered by the Examiner and be made of record in the present application and that an initialed copy of Form PTO/SB/08 be returned in accordance with MPEP §609.

### **STATEMENT**

The undersigned hereby states in accordance with 37 CFR §1.97(e)(1) that each item of information contained in this information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three (3) months prior to filing of this Statement.

The undersigned hereby states in accordance with 37 CFR §1.704(d) that each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart application and that this communication was not received by any individual designated in 37 CFR §1.56(c) more than thirty days prior to the filing of the information disclosure statement.

Although Applicant believes that no fee is required for this Request, the Commissioner is hereby authorized to charge any additional fees which may be required for this Request to Deposit Account No. 19-0741.

Respectfully submitted,

Date 9/12/07

By Stephen E. Reiter

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Substitute for form 1449/PTO  
**INFORMATION DISCLOSURE  
 STATEMENT BY APPLICANT**

(use as many sheets as necessary)

Sheet 1 of 1

**Complete if Known**

Application Number	10/522,128
Filing Date	7/18/2003
First Named Inventor	Murray Goodman
Art Unit	1618
Examiner Name	FUBARA, BLESSING
Attorney Docket Number	041673-3108

**U.S. PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (if known)			

**UNPUBLISHED U.S. PATENT APPLICATION DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	U.S. Patent Application Document	Filing Date of Cited Document MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Serial Number-Kind Code <sup>2</sup> (if known)			

**FOREIGN PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document Country Code* Number* Kind Code <sup>2</sup> (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Documents	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>

**NON PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, application, etc.) date, page(s), volume-issue number(s), publisher, city and/or country where published.				T <sup>6</sup>
	A1	Supplementary European Search Report, pp. 6, July 26, 2007				
	A2	Mitchell, D. J. et al., "Polyarginine Enters Cells More Efficiently Than Other Polycationic Homopolymers", <i>Journal of Peptide Research</i> , Vol. 56, No. 5, pp. 318-325, November 2000 (2000-11), ABSTRACT				
	A3	Ranganathan, D. et al., "Design and Synthesis of AB3-Type (A=1, 3, 5-Benzenetricarbonyl Unit", <i>Biopolymers</i> , Vol. 54, No. 4, pp. 289-295, 2000, ABSTRACT				
	A4	Rothbard, J. B. et al., "Conjugation of Arginine Oligomers to Cyclosporin A facilitates Topical Delivery and Inhibition of Inflammation", <i>Nature Medicine</i> , Vol. 6, No. 11, pp. 1253-1257, November 2000 (2000-11), ABSTRACT				
	A5	Scott, D. A. et al., "Bis(1, 3-dihydroxy-isopropyl)amine (BDI) as an AB4 Dendritic Building Block: Rapid Synthesis of a Second Generation Dendrimer", <i>Tetrahedron Letters</i> , Vol. 41, No. 20, pp. 3959-3962, May 2000 (2000-05), ABSTRACT				
	A6	Vogtle, S. et al., "Symmetrical, Four-Directional, Poly(Ether-Amide) Cascade Polymers" <i>Macromolecules</i> , Vol. 24, No. 6, pp. 1443-1444, 1991				
		Not received				

Examiner Signature /Eric Silverman/

Date Considered

\*EXAMINER: initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. 1 Applicant's unique citation designation number (optional). 2 See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. 3 Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). 4 For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. 5 Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. 6 Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450

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VIA E-MAIL

Shihong Nicolaou Ph. D.  
University of California, San Diego  
UCSD Technology Transfer  
9500 Gilman Drive  
MAIL CODE 0910  
La Jolla, CA 92093

Re: U.S. Patent Application No. 10/522,128  
Title: DENDRIMERS AS MOLECULAR TRANSLOCATORS  
Filing or 371(c)  
Date: 02/27/2006  
Inventor(s): Murray Goodman and Churl Min Seong  
Client Ref. No. SD2002-042-1M  
Our Ref.: SDUC1100-1

Dear Shihong:

Enclosed for your file is a copy of the Information Disclosure Statement as recently filed with the United States Patent and Trademark Office for the above-identified matter. The IDS discloses references from the recently received Supplementary European Search Report in related matter SDUC1100EP.

If you have any questions, or if you require any additional information, please do not hesitate to contact us.

Sincerely,

Stephen E. Reiter

SER/eb  
Enclosures

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